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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002 OMB 0651-0032  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 4406C1  
First Inventor Reid B. Kowallis  
Title APPARATUS AND METHOD FOR TRANSFERRING SMALL  
VOLUMES OF SUBSTANCES  
Express Mail Label No. EL 897 622 634 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 33]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Certified Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: **09/846,467** filed **April 30, 2001**

Prior application information:

Examiner: **Handy, D.**

Group Art Unit: **1743**

For **CONTINUATION OR DIVISIONAL APPS** only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

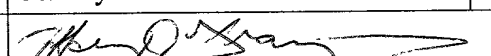
## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Jeffery D. Frazier				
Address	PATENT TRANSMITTAL SYSTEMS 850 Lincoln Centre Drive				
City	Foster City	State	California	Zip Code	94404
Country	US	Telephone	650-570-6667	Fax	650-638-6677

Name (Print/Type)	Jeffery D. Frazier	Registration No. (Attorney/Agent)	34,601
Signature		Date	December 12, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	To be assigned
Filing Date	December 12, 2001 (herewith)
First Named Inventor	Reid B. Kowallis
Examiner Name	Handy, D.
Group Art Unit	1743
Attorney Docket No.	4406C1

**TOTAL AMOUNT OF PAYMENT (\$)** 740.00**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to

Deposit  
Account  
Number  
Deposit  
Account  
Name

01-2213

Applied Biosystems

- ☒
- Charge any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17
- 
- ☐
- Applicant claims small entity status
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:**
- 
- ☐
- Check
- ☐
- Credit card
- ☐
- Money
- ☐
- Other
- 
- Order

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740 201 370		Utility filing fee	740.00
106 330 206 165		Design filing fee	
107 510 207 255		Plant filing fee	
108 740 208 370		Reissue filing fee	
114 160 214 80		Provisional filing fee	

**SUBTOTAL (1) (\$)** 740.00**2. EXTRA CLAIM FEES**

Total Claims		Extra Claims		Fee from below	Fee Paid
Total Claims	11	-20**=	0	X	0
Independent Claims	3	-3**=	0	X	0
Multiple Dependent					0

\*\*or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18 203 9		Claims in excess of 20
102 84 202 42		Independent claims in excess of 3
104 280 204 140		Multiple dependent claim, if not paid
109 84 209 42		** Reissue independent claims over original patent
110 18 210 9		** Reissue claims in excess of 20 and over original patent

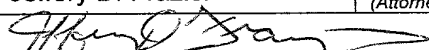
**SUBTOTAL (2) (\$)** 0.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65		Surcharge - late filing fee or oath	
127 50 227 25		Surcharge - late provisional filing fee or cover sheet	
139 130 139 130		Non-English specification	
147 2520 147 2520		For filing a request for <i>ex parte</i> reexamination	
112 920* 112 920*		Requesting publication of SIR prior to Examiner action	
113 1840* 113 1840*		Requesting publication of SIR after Examiner action	
115 110 215 55		Extension for reply within first month	
116 400 216 200		Extension for reply within second month	
117 920 217 460		Extension for reply within third month	
118 1440 218 720		Extension for reply within fourth month	
128 1960 228 980		Extension for reply within fifth month	
119 320 219 160		Notice of Appeal	
120 320 220 160		Filing a brief in support of an appeal	
121 280 221 140		Request for oral hearing	
138 1510 138 1510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidable	
141 1280 241 640		Petition to revive - unintentional	
142 1280 242 640		Utility issue fee (or reissue)	
143 460 243 230		Design issue fee	
144 620 244 310		Plant issue fee	
122 130 122 130		Petitions to the Commissioner	
123 50 123 50		Petitions related to provisional applications	
126 180 126 180		Submission of Information Disclosure Stmt	
581 40 581 40		Recording each patent assignment per property (times number of properties)	
146 740 246 370		Filing a submission after final rejection (37 CFR 1.129(a))	
149 740 249 370		For each additional invention to be examined (37 CFR 1.129(b))	
179 740 279 370		Request for Continued Examination (RCE)	
169 900 169 900		Request for expedited examination of a design application	
Other fee (specify) _____			

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Jeffery D. Frazier	Registration No. (Attorney/Agent)	34,601	Telephone	650.638.6722
Signature		Date	December 12, 2001		

**WARNING:**

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

CERTIFICATION UNDER 37 CFR 1.10

Express Mail Number EL 897 622 634 US

Date of Deposit December 12, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D C 20231

Cheri Gomez  
(Print Name of Person Mailing Application)

Cheri Gomez  
(Signature of Person Mailing Application)

**Docket No. 4406C1**

**Transmittal of Continuation Patent Application  
For Filing Under 37 CFR 1.53(b)**

PRIOR APPLICATION:

Examiner:

D. Handy

Art Unit: 1743

Assistant Commissioner for Patents

Box: Patent Application

Washington, D.C. 20231

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR 1.53(b), of pending prior application serial no. 09/846,467 filed on April 30, 2001 by Reid B. Kowallis entitled

**Apparatus and Method for Transferring Small Volumes of Substances**

1. Enclosed are:

- ☒ One stamped, self-addressed postcard for PTO datestamp.
- ☒ Certificate of Express Mail.
- ☒ One utility patent application containing text pages 1 - 33 and
  - ☒ 6 sheets of ☒ formal ☐ informal drawings.
- ☒ Application Data Sheet.
- ☒ Copy of executed Declaration of Inventorship from parent application serial no. 09/293,659.
- ☐ Sequence Listing printout, Request to Use from prior application, and matching Declaration.
- ☒ A Preliminary Amendment.
- ☐ A new Power of Attorney.

2. Amendment

- ☒ Please enter the enclosed Preliminary Amendment before calculating the filing fee. It is understood that only amendments reducing the number of claims will be entered for this purpose.
- ☒ Please cancel original claims 1-28, inclusive, before calculating the filing fee. (At least one original independent claim should be retained for filing purposes.)
- ☒ Amend the specification by inserting before the first line the sentence: -- This application is a continuation of application serial no. 09/846,467 filed April 30, 2001, which is a divisional of application serial no. 09/293,659 filed April 16, 1999, both of which are incorporated herein by reference. --

3. Extension of Time

- ☐ A petition for extension of time has been filed in the parent to extend the pendency of the parent to \_\_\_\_\_ (copy enclosed).

Patent 62697001

- ☒ Conditional Petition for Extension of Time: An Extension of Time is requested to provide for timely filing *if* required to establish copendency with the parent after all papers filed herewith have been considered.

4. Prior Documents Still in Effect

- ☒ This application and parent application Serial No. 09/846,467 filed April 30, 2001 are assigned of record to PE Corporation (NY).
- ☒ Power of attorney in the above-identified prior application is to Jeffery D. Frazier, Reg. No. 34,601, and the other attorneys or agents identified therein.

5. Fees

The filing fee is calculated below taking into account any amendments in section 2 above:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
TOTAL CLAIMS	11 - 20	0	X \$18	\$0.00
INDEPENDENT CLAIMS	3 - 3	0	X \$80	\$0.00
	BASIC FEE			\$740.00
	Multiple Dependency Fee If Applicable \$270.00			
	Total			
	50% Reduction for Independent Inventor, Non-profit Organization or Small Business Concern			
	TOTAL FILING FEE			\$740.00

- ☒ The Commissioner is hereby authorized to charge the filing fee, any deficiency in fees under 37 CFR 1.16 and 1.17, or any other fees necessary for timely filing of this application, or credit any overpayment to Deposit Account No. 01-2213. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$ \_\_\_\_\_ is enclosed.
- ☐ Filing fee to be submitted in response to anticipated receipt of Notice to File Missing Parts.  
**DO NOT CHARGE DEPOSIT ACCOUNT.**

Respectfully submitted,



Jeffery D. Frazier, Reg. No. 34,601  
Customer Number 22896

Dated: Dec. 17, 2001

**Correspondence Address:**

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